

## FY 2011 Selected Programs by Goal

In FY 2011, the Department continued a number of programs and initiated several new ones designed to be a cradle-to-career agenda to support states and districts as they reform their schools and make college more affordable for students. This agenda is designed around key principles, including:

- creating early learning systems that align resources to get the nation's youngest children ready for kindergarten;
- raising standards so they actually prepare students for success in college and careers;
- improving the quality of teaching in the classroom by improving the preparation, professional development, and evaluation of teachers and principals; and
- turning around persistently low-performing schools that have been failing students for decades or even generations.

A summary of the larger and more impactful programs, organized by draft strategic goal, follows.

### **Goal 1: Postsecondary Education, Career and Technical Education, and Adult Education**

***Increase college access, quality, and completion by improving higher education and lifelong learning opportunities for youth and adults.***

In 2011, the Department continued to support President Obama's three-prong strategy (access, quality, and completion) for achieving the 2020 goal of America once again having the highest proportion of college graduates in the world.

[Gaining Early Awareness and Readiness for Undergraduate Programs](#) (GEAR UP) is a discretionary grant program designed to increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six- and seven-year grants to states and partnerships to provide services at high-poverty middle and high schools. GEAR UP grantees serve an entire cohort of students beginning no later than the seventh grade and follow the cohort through high school. Grantees may choose to continue to serve students into their first year of college. GEAR UP funds are also used to provide college scholarships to low-income students. In FY 2011, the Department awarded:

- 19 new awards for more than \$77.3 million,
- 15 non-competing continuation grants totaling \$44.6 million,
- 47 new partnership award for \$100.1 million,
- and 73 non-competing continuation partnership grants (\$78.8 million).

There is a priority in the awarding of the grants, going to the applicants that agree to implement college- and career-ready standards, enable more data-based decision making, and aim to turn around persistently lowest achieving schools.

[The William D. Ford Federal Direct Loan Program](#) (Direct Loan) lends funds directly to students and parents through participating schools. Created in 1993, this program is funded by

borrowings from the U.S. Department of the Treasury, as well as an appropriation for subsidy costs.

[The Federal Pell Grant Program](#) (Pell Grant) helps ensure financial access to postsecondary education by providing grant aid to low-income and middle-income undergraduate students. Pell Grants vary according to the financial circumstances of students and their families. For the 2010–11 award year, the Department disbursed approximately \$37 billion in Pell Grants averaging approximately \$4,115 to nearly 9 million students. The maximum Pell Grant award was \$5,550 for the 2010–11 award year and remains \$5,550 for the 2011–12 award year.

The [Federal TRIO Programs](#) (TRIO) provides Federal outreach and student services programs designed to identify and provide services for individuals from disadvantaged backgrounds. TRIO includes eight programs targeted to serve and assist low-income individuals, first-generation college students, and individuals with disabilities to progress through the academic pipeline from middle school to postbaccalaureate programs. TRIO also includes a training program for directors and staff of TRIO projects. The *Full-Year Continuing Appropriations Act, 2011* (P.L. 112-10), provided \$826.5 million for TRIO programs in fiscal year FY 2011. In addition, there was \$57 million in mandatory appropriations for Upward Bound.

[Career and Technical Education, and Adult Education](#) programs include initiatives for literacy and community colleges.

In September 2011, the Department collaborated with the Department of Labor in Labor's award of nearly \$500 million in grants to [community colleges](#) for targeted training and workforce development to help economically dislocated workers who are changing careers. The grants support partnerships between community colleges and employers to develop programs that provide pathways to good jobs, including instructional programs that meet specific needs. This installment is the first in a \$2 billion, four-year investment designed in combination with the *American Jobs Act of 2011* to provide additional support for hiring and re-employment services to increase opportunities for the unemployed.

Carl D. Perkins [Career and Technical Education Act of 2006](#) provides funds to state educational agencies to support programs that assist students to acquire academic and technical skills and be prepared for high-skill, high-wage, or high-demand occupations in the global economy.

In addition, the Department administers formula grant funds to states for [adult education and literacy programs](#). States distribute funds to local eligible entities to provide adult education and literacy services that provide educational opportunities below the postsecondary level for adults, 16 years of age and older, who are not currently enrolled in school, lack a high school diploma, or lack the basic skills to function effectively in the workplace and in their daily lives.

## Goal 2: Elementary and Secondary Education

***Prepare all students for college and career by improving the elementary and secondary education system's ability to consistently deliver excellent classroom instruction and supportive services***

### [Race to the Top](#)

In FY 2011, Congress appropriated \$700 million for the Race to the Top initiative and authorized a specific early learning initiative. In response, on May 25, 2011, the Department announced plans for \$200 million in state-level grants to support nine finalists that did not win grants in the

first two rounds of Race to the Top. The states— Arizona, California, Colorado, Illinois, Kentucky, Louisiana, New Jersey, Pennsylvania, and South Carolina—may seek grants ranging from \$10 million to \$50 million, depending on population and the final number of grants.

To provide ongoing feedback to teachers during the course of the school year, measure annual student growth, and move beyond narrowly focused bubble tests, the Department awarded [two groups of states grants](#) to develop a new generation of tests. The tests will assess students' knowledge of mathematics and English language arts from third grade through high school.

### **Teacher Incentive Fund**

The Department's Teacher Incentive Fund (TIF) has provided grants to states, rural and urban school districts, and nonprofit organizations to develop and implement performance-based teacher and principal compensation systems in high-need schools.

The Department did not conduct a competition in FY 2011, but supported the 2010 grantees with significant technical assistance. The Department is reviewing the program requirements and lessons learned from the current grantees to help inform its plans for a new competition in FY 2012.

The TIF seeks to strengthen the education profession by rewarding excellence, attracting teachers and principals to high-need schools, and providing all teachers and principals with the feedback and support they need to succeed.

### **School Improvement Grants**

In conjunction with Title I funds for school improvement, School Improvement Grants are used to improve student achievement in Title I schools identified for improvement, corrective action, or restructuring so as to enable those schools to make adequate yearly progress and exit improvement status.

### **Investing in Innovation Fund**

The purpose of this program is to provide competitive grants to applicants with a record of improving student achievement and attainment in order to expand the implementation of, and investment in, innovative practices that are demonstrated to have an impact on improving student achievement or student growth, closing achievement gaps, decreasing dropout rates, increasing high school graduation rates, or increasing college enrollment and completion rates.

On June 3, 2011, the Department kicked off the 2011 Investing in Innovation (i3) grant competition to continue support for evidence-based practices in education. This second round of i3 makes \$150 million available to local educational agencies (LEAs) and nonprofit organizations in partnership with LEAs or consortia of schools. Grants will be available within the same three categories as in round one:

- up to \$25 million each for scale-up grants to applicants with the strongest evidence and track record of success;
- up to \$15 million each for validation grants to verify effectiveness of programs with moderate levels of evidence; and
- up to \$3 million each for development grants to support new, high-potential practices whose impact should be studied further.

Grant recipients will be required to secure private sector matching funds of five percent, 10 percent, or 15 percent, respectively.

Three absolute priorities remain from last year's grant competition: supporting effective teachers and principals, implementing high standards and quality assessments, and turning around persistently low-performing schools. For this year's competition, the Department has included two new absolute priorities focusing on achievement and high school graduation rates in rural schools and promoting science, technology, engineering, and math education. All applicants must address one of these five areas. In addition, competitive preference will be given to applications that demonstrate support for improving early learning outcomes, increasing college access and success, addressing the unique needs of students with disabilities and limited English proficient students, or improving productivity or technology.

### **Promise Neighborhoods**

Promise Neighborhoods, established under the legislative authority of the Fund for the Improvement of Education, provides funding to support eligible entities, including nonprofit organizations, which may include faith-based nonprofit organizations, institutions of higher education, and Indian tribes.

On July 6, 2011, the Department released the application for the next phase of the Promise Neighborhoods program, including a second round of planning grants and new implementation grants, totaling \$30 million. Non-profit organizations, institutions of higher education, and Indian tribes are all eligible to apply for funds to develop or execute plans that will improve educational and developmental outcomes for students in distressed neighborhoods. The Department expects to award four to six implementation grants with an estimated grant award of \$4 million to \$6 million. Grantees will receive annual grants over a period of three to five years, with total awards ranging from \$12 million to \$30 million. Remaining 2011 funding will go toward 10 new one-year planning grants with an estimated grant award of \$500,000.

The purpose of Promise Neighborhoods is to significantly improve the educational and developmental outcomes of children and youth in the nation's most distressed communities, and to transform those communities by—identifying and increasing the capacity of eligible entities that are focused on achieving results for children and youth throughout an entire neighborhood; building a complete continuum of cradle-to-career solutions of both educational programs and family and community supports, with great schools at the center; integrating programs and breaking down agency “silos” so that solutions are implemented effectively and efficiently across agencies; developing the local infrastructure of systems and resources needed to sustain and scale up proven, effective solutions across the broader region beyond the initial neighborhood; and learning about the overall impact of the Promise Neighborhoods program and about the relationship between particular strategies in Promise Neighborhoods and student outcomes, including through a rigorous evaluation of the program.

In FY 2011, the Promise Neighborhoods program awarded one-year grants to support the development of a plan to implement a Promise Neighborhood that includes the core features described above. At the conclusion of the planning grant period, grantees should have a feasible plan to implement a continuum of solutions that will significantly improve results for children in the community being served.

### Goal 3: Early Learning

***Improve the health, social-emotional, and cognitive outcomes for all children from birth through third grade, so that all children, particularly those with high needs, are on track for graduating from high school college- and career- ready.***

#### Inter-Governmental Cooperation

The Department prioritizes improving the health, social, emotional, and educational outcomes for young children from birth through 3rd grade by enhancing the quality of early learning programs, and increasing the access to high-quality early learning programs—especially for young children at risk for school failure. The Department's role in promoting early learning is significant and includes: administering several early learning programs; collaborating and coordinating early learning programs, research, and technical assistance with the U.S. Department of Health and Human Services; encouraging states and local districts to target resources for early learning; promoting state and local education agency partnerships with other early learning agencies and programs in the state or community; conducting research on early learning through the Institute of Education Sciences (IES); funding technical assistance on early learning topics, including early literacy and social and emotional development; and supporting the development of state longitudinal data systems that include early learning programs.

#### Race to the Top-Early Learning Challenge

The Race to the Top-Early Learning Challenge (RTT-ELC) will provide \$500 million in state competitive grants to improve early learning and development programs. The goal of the RTT-ELC is to better prepare more children with high needs for kindergarten, because children from birth to age five, including those from low-income families, need a strong foundation for success.

RTT-ELC will focus on five key areas of reform:

- Establishing Successful State Systems by building on the state's existing strengths, ambitiously moving forward the state's early learning and development agenda, and carefully coordinating programs across agencies to ensure consistency and sustainability beyond the grant;
- Defining High-Quality, Accountable Programs by creating a common tiered quality rating and improvement system that is used across the state to evaluate and improve program performance and to inform families about program quality;
- Promoting Early Learning and Development Outcomes for Children to develop common standards within the state and assessments that measure child outcomes, address behavioral and health needs, as well as inform, engage, and support families;
- Supporting A Great Early Childhood Education Workforce by providing professional development, career advancement opportunities, appropriate compensation, and a common set of standards for workforce knowledge and competencies; and
- Measuring Outcomes and Progress so that data can be used to inform early learning instruction and services and to assess whether children are entering kindergarten ready to succeed in elementary school.

The RTT-ELC program is jointly administered with the Department of Health and Human Services.

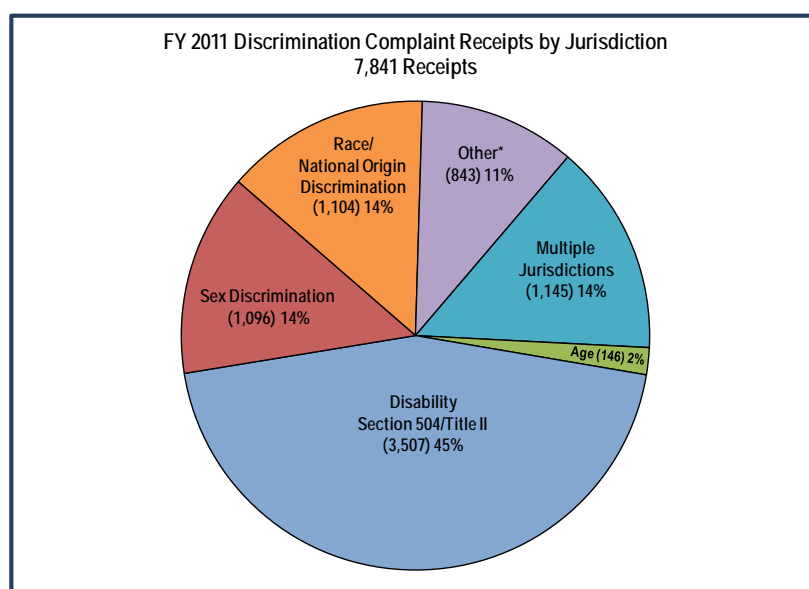
## Goal 4: Equity

***Ensure equitable educational opportunities for all students regardless of race, ethnicity, national origin, age, sex, disability, language, and socioeconomic status.***

### Office for Civil Rights

The Department of Education enforces federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, sex, disability and age, in our nation's schools primarily in educational institutions that receive federal funds from the Department. In addition, the Department ensures that the Boy Scouts of America and other designated youth groups have equal access to meet in elementary and secondary schools that receive funds through the Department. The Office for Civil Rights (OCR), a law enforcement agency within the Department, performs the Department's civil rights enforcement responsibilities in a variety of ways including: investigating complaints alleging discrimination; conducting compliance reviews in educational institutions to determine if they are in compliance with the laws; and providing technical assistance to educational institutions on how to comply with the law and parents and students on their rights under the law. The Department also issues regulations on civil rights laws, develops policy guidance interpreting the laws, and distributes the information broadly.

In FY 2011, OCR received a record total of 7,841 complaints alleging discrimination, a 13 percent increase in complaint receipts over the previous fiscal year and resolved 7,434 complaints, some of which were received the previous year. As shown in the chart below, close to half of the complaints received by the Department allege discrimination due to disability. To augment the issues addressed through complaint processing, OCR implemented a proactive docket of compliance activities that included initiating 37 proactive compliance reviews and 73 proactive technical assistance activities. In addition, OCR developed policy guidance, including investigative guidance, to address discrimination against students on the basis of race, color, national origin, sex and disability. OCR's law enforcement work supports progress on the Department's efforts to address equity.



\* This category reflects new complaint receipts for which jurisdiction has not yet been determined. It also includes complaint receipts under the *Boy Scouts of America Equal Access Act* and those with issues over which OCR has no jurisdiction.

Source: Office for Civil Rights Case Management System



## Goal 5: Continuous Improvement of the U.S. Education System

***Enhance the education system's ability to continuously improve through better and more widespread use of data, research and evaluation, transparency, innovation, and technology.***

### Widespread Use of Data

**Data Strategy Team.** The Data Strategy Team (DST) was organized in August 2010 to address the issue of inconsistent and uncoordinated data strategies among the various principal offices within the Department. The mission of the DST is to coordinate the Department's public-facing data initiatives by building cohesiveness in internal processes and data policies and by improving transparency in all matters surrounding the Department's collection of data. The DST supports states' use of education data through data websites and technical assistance to grantees. Specifically, the DST will find best practices for the use and promotion of data policy.

The DST is an open group, available to all those within the Department who wish to participate. The goal of meetings is to increase communication and awareness of data-related projects across the Department. Nearly every principal office has an official representative who participates in the larger DST meetings, and there are approximately 100 DST members.

There are currently four active workgroups for the DST to address the following topics: Data Dashboard, Data Inventory, Open Government, and Data Release. The Data Dashboard group is planning for the transition of the Dashboard.Ed.Gov website from its current version 1.0, launched in January, 2011, to an intermediate update, and on to an eventual version 2.0 with significantly improved features. Members of the Data Inventory group have begun the challenging task of defining what are "data" across the Department and also have made initial steps in cataloging the Department's data holdings. Responding to initiatives from the White House and OMB, the Open Government group is helping the Department navigate the requirements for transparency and openness mandated for all federal agencies. Finally, the newest group, Data Release, is designing a coordination process to improve the way that the Department releases data and data-based reporting to the public, while balancing the need to protect privacy and confidentiality.

**Mapping State Standards.** In FY 2011, the Department released a report comparing the relative rigor of state proficiency standards in reading and mathematics using the National Assessment of Educational Progress (NAEP) scale as a common yardstick. Each individual state develops its own state assessments in reading and math and sets its own proficiency standard. As a result, states vary widely in the standards they set for students. By using NAEP as a benchmark, it was possible to compare state proficiency standards.

**Uniform Graduation Rate.** In FY 2011, states will begin reporting high school graduation rates for the 2010-11 school year using a more rigorous four-year adjusted cohort, as developed by the nation's governors in 2005. Since data reporting requirements were first implemented under No Child Left Behind, states have calculated graduation rates using varying methods, creating inconsistent data from one state to the next. The transition to a uniform high school graduation rate requires all states to report the number of students who graduate in four years with a standard high school diploma, divided by the number of students who entered high school four years earlier, and accounting for student transfers in and out of school. The Department anticipates that the more rigorous method will result in lower reported graduation rates, but it will reflect a more accurate calculation of how many U.S. students complete high school on time.

**Version 2.0 ED Data Express.** During FY 2011, the Department launched an interactive website to make more accurate and timely K-12 education data available to the public. The new version provides the public with more dynamic tools to interact with the data, such as a mapping feature that allows users to view the data displayed on a map of the United States; a trend line tool, which displays a data element graphed across multiple school years; and a conditional analysis tool, which allows users to view one data element based on conditions set by another data element.

The site currently includes data from the Department's *EDFacts* data system, Consolidated State Performance Reports (CSPR), State Accountability Workbooks, and the National Center for Education Statistics (NCES), the College Board, and the Department's Budget Service office. In addition, the site has improved documentation and added the ability to share information from the site using social networking tools, such as Facebook or Twitter.

## **The Department's Evaluation Initiative**

In May 2010, the Department launched a new agency-wide evaluation planning process to better align its investments in knowledge building with the Department's strategic plan and its budget and policy priorities and to support appropriate resource allocation. The process—led jointly by the Department's Office of Planning, Evaluation and Policy Development (OPEPD) and the Institute of Education Sciences—was developed to identify the Department's key priorities for evaluations that can provide reliable measures of the impacts of programs, policies, and strategies, as well as for a range of research and evaluation activities that build knowledge important to inform policy and practice more broadly (e.g., performance measurement, grantee evaluation, and support).

This planning process includes regular discussions with program and policy offices within the Department and reviews of existing research and recent and ongoing evaluation investments in the Department. While the planning process is informed by the knowledge generated through the Department's investments in long term programs of research, it focuses on knowledge building activities initiated and carried out by the Department.

In FY 2011, the Department developed and approved a set of priority research questions which will help shape its future investments in knowledge building. Planning for FY 2011 investments was completed this spring and planning for FY 2012 is underway, although final decisions are contingent on appropriations action. The evaluation planning process consists of the evaluation planning team meeting with the Department's policy and program offices and based on their input, developing recommendations for the evaluation activities the Department will support.

Each office is asked to identify its highest priority research questions, as well as any program-specific research questions they would like addressed in that year and beyond. The evaluation planning team's recommendations are designed to ensure that the evaluation activities supported annually by the Department, as a whole and to the extent possible, respond to those research questions identified as highest priority to the policy and program offices. Program offices are given the opportunity to raise any concerns they have with the evaluation planning team's recommendations.

The Department plans to engage annually in a similar strategic planning process for investments in knowledge building.



## Goal 6: U.S. Department of Education Capacity

***Improve the organizational capacities of the Department to implement this Strategic Plan.***

### Department Decision Support System Tool for Grant Risk Management

For both FY 2011 and FY 2012, the Department has placed a high priority on using data to continuously improve its grant-making processes. To that end, the Department's Risk Management Service (RMS) developed the Decision Support System Entity Risk Review (support review).

The support review is a data analysis tool that has been developed in collaboration with leadership and staff from various Principal Offices. The support review facilitates program officers' access to risk-related information and consolidates disparate data sources into one report.

The support review (example summary page shown above) provides financial, administrative, and internal controls data about grantees. Specifically, the support review includes data from: Dun & Bradstreet, the grants management system (G5), the Federal Audit Clearinghouse, and the Adverse Accreditation Actions list distributed by OPE. The Administrative Risk Score represents previous compliance history with the Department and is comprised mainly of data elements from the Department's grant management system (G5).

Applicant Name	Administrative Risk Score	Financial Risk Score	Internal Control Risk Score
Entity A	0	0	139
Entity B	0	0	139
Entity C	0	20	39
Entity D	0	120	69
Entity E	0	15	5

The Financial Risk Score presents an overview of the applicant's management of its finances using data elements related to its payments activities and credit scores. The Internal Controls Risk Score is based on the entities A-133 audit finding data. Each data element has an associated point value—the higher the score, the greater the potential risk that may require the application of risk mitigation strategies.

To make the summary page more user-friendly, the scores are color-coded such that green indicates low potential risk, yellow indicates an elevated potential risk, and salmon indicates a significant potential risk. When used in conjunction with other relevant programmatic information, the support review results in informed monitoring and decision-making, and highlights potential areas of risk.

RMS piloted the support review during FY 2011, making reviews available upon request by the program office. The pilot included four program offices: Office of Elementary and Secondary Education, Office of Innovation and Improvement, Office of Special Education and Rehabilitative Services, and Office of Postsecondary Education.

As of August 2011, RMS has delivered more than 150 review reports to both pilot and non-pilot programs and collected user feedback to assess the efficacy of the review reports. This feedback will be used to enhance and refine the tool for the upcoming FY 2012 release.

As a result of the FY 2011 pilot, RMS identified new ways to promote data-driven decision making in the grants management process. For FY 2012 and beyond, the long-term goal for the use of the support review is to formalize and streamline the processes the Department uses to:

identify areas of potential risk in the Department's grant portfolio; determine when grant conditions could be used to mitigate risk; encourage consistent treatment of grantees across program offices; and develop appropriate monitoring, technical assistance, and oversight plans as a part of grants management.

## **Customer Satisfaction with the Department of Education**

For FY 2011, the Department significantly expanded its external survey of customer satisfaction with its products and services. The survey began seven years ago in response to a key metric in the Department's Strategic Plan. In FY 2010, metrics of customer satisfaction, both internal and external, were added to the Department's Organizational Performance Review, which contains metrics for a variety of assessments of principal office strategic and organizational performance and the survey was expanded to include 15 programs.

This year, in response to the President's April 27, 2011, Executive Order 13571 Streamlining Service Delivery and Improving Customer Service, the Department expanded its survey to include 45 programs with a future goal of surveying 20 percent of Department programs representing the top 80 percent of program dollars.

The survey uses the American Customer Satisfaction Index (ACSI). The ACSI is the national indicator of customer evaluations of the quality of goods and services. It is the only uniform benchmarking measure of customer satisfaction across agencies and private industry.

The ACSI allows benchmarking between federal agencies and provides information unique to each agency on how activities that interface with the public affect the satisfaction of its customers. The ACSI is a weighted average of three questions that measure: overall satisfaction, satisfaction compared to expectations, and satisfaction compared to an ideal organization.

Additionally, each principal office in the Department surveys their stakeholders on the effective use of technology, clarity and organization of documents, staff knowledge, responsiveness, collaboration with other Department offices, provision of technical assistance, and ease of accessing online resources.

In FY 2011, there was no change in satisfaction from the previous year—72 points on a 100-point scale. The Department is now six points above the federal government average of 65. Staff scores were up two points, while technology and online resources were down two points from FY 2010. Complaints remained at one percent. Below is a comparison of the results of major Department programs from FY 2010 and FY 2011.

To review the complete results of the FY 2011 survey and previous surveys:

<http://www2.ed.gov/about/reports/annual/gss/index.html>

### Satisfaction With Major Department Programs, FY 2010 and FY 2011

